

Docket No. 266140US0PCT

**MAIL STOP PCT**  
**JC03 Rec'd PCT** **18 MAY 2005**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Werner GAUWEILER, et al.

SERIAL NO: 10/525,587

GAU:

FILED: February 25, 2005

EXAMINER:

FOR: THE PRODUCTION OF AQUEOUS DISPERSIONS OF CATIONIC HOMO-AND COPOLYMERS USING AMPHOTERIC PROTECTIVE COLLOIDS

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☒ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**


- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

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Form PTO 1449  
(Modified)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY DOCKET NO.  
266140US0PCTSERIAL NO.  
10/525,587

## LIST OF REFERENCES CITED BY APPLICANT

## APPLICANT

Werner GAUWEILER, et al.

## FILING DATE

February 25, 2005

## GROUP

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE     | NAME          | CLASS | SUB<br>CLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|----|--------------------|----------|---------------|-------|--------------|-------------------------------|
|                     | AA | 5 330 650          | 07/19/94 | BYRNE et al.  |       |              |                               |
|                     | AB | 4 806 345          | 02/21/89 | BHATTACHARYYA |       |              |                               |
|                     | AC |                    |          |               |       |              |                               |
|                     | AD |                    |          |               |       |              |                               |
|                     | AE |                    |          |               |       |              |                               |
|                     | AF |                    |          |               |       |              |                               |
|                     | AG |                    |          |               |       |              |                               |
|                     | AH |                    |          |               |       |              |                               |
|                     | AI |                    |          |               |       |              |                               |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE     | COUNTRY                       | TRANSLATION |    |
|--|----|--------------------|----------|-------------------------------|-------------|----|
|  |    |                    |          |                               | YES         | NO |
|  | AJ | 0 915 107          | 05/12/99 | EP (with English abstract)    |             | NO |
|  | AK | 0 717 056          | 06/19/96 | EP                            |             | NO |
|  | AL | 02/38639           | 05/16/02 | WO (with English abstract)    |             | NO |
|  | AM | 197 31 907         | 01/28/99 | DE                            |             | NO |
|  | AN | 0 637 581          | 02/08/95 | EP (equivalent of US 5210222) |             | NO |
|  | AO | 1 064 924          | 01/03/01 | EP                            |             | NO |
|  | AP | 0 183 466          | 06/04/86 | EP                            |             | NO |
|  | AQ | 00/20470           | 04/13/00 | WO (English abstract only)    |             | NO |
|  | AR | 93/25595           | 12/23/93 | WO                            |             | NO |
|  | AS | 97/35544           | 10/02/97 | WO                            |             | NO |
|  | AT | 98/14405           | 04/09/98 | WO                            |             | NO |
|  | AU | 98/14490           | 04/09/98 | WO                            |             | NO |
|  | AV | 99/46207           | 09/16/99 | WO                            |             | NO |

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

|  |    |   |  |  |  |  |
|--|----|---|--|--|--|--|
|  | AW | FIKENTSCHER, Von H. "Systematik der Cellulosen auf Grund ihrer Viskosität in Lösung", Cellulose-Chemie, vol. 13, pages 58-64 1932 |  |  |  |  |
|  | AX |   |  |  |  |  |
|  | AY |   |  |  |  |  |
|  | AZ |   |  |  |  | <input type="checkbox"/> Additional References sheet(s) attached |

Examiner

Date Considered

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

U.S. PCT Application Serial No.: 10/525,587  
Docket No.: 266140US0PCT

#### STATEMENT OF RELEVANCY

- 1) References AJ-AL have been cited in the International Search Report. Copies of these references are being submitted herewith only when not automatically provided by the International Searching Authority.
- 2) References \_\_\_\_\_ have been cited in the corresponding \_\_\_\_\_ Search Report. A copy of these references is being submitted herewith.
- 3) References AA, AB, AM-AW are discussed in the specification. A copy of these references is being submitted here with.
- 4) References \_\_\_\_\_ are additional prior art known to Applicant. A copy of these references is being submitted herewith.

**LIST OF RELATED CASES**

| <u>Docket Number</u> | <u>Serial or<br/>Patent Number</u> | <u>Filing or<br/>Issue Date</u> | <u>Patent Appl.<br/>Publication No.</u> | <u>Inventor/<br/>Applicant</u> |
|----------------------|------------------------------------|---------------------------------|---|--------------------------------|
| 266140US0PCT*        | 10/525,587                         | 02/25/05                        |   | GAUWEILER,<br>et al.           |
| PER CLIENT           | 09/604,001                         | UNKNOWN                         |   | UNKNOWN                        |

\*Present Application; listed for information  
NFO/hah